

**COMPLETION OF FILING NATIONAL PHASE OF PCT APPLICATION**  
**UNDER RULE 35 USC 371 AND 37 CFR 1.494(C) OR 1.495(C)**



**BOX PCT**

**COMPLETION**  
**For PCT Cases Only**

In re PATENT APPLICATION of  
 Inventor(s): SHAW et al.

Attn: Application Division

Appln. No.: 09 | 936,859  
 Series Code ↑ Serial No. ↑

Atty. Dkt. P 0283672 | Z70673  
 M# Client Ref

National Phase Field  
 Based on PCT GB01 | 00590  
 ↑ Country Code & Year

Title: AUTOMATICALLY OPERABLE SAFETY SHIELD SYSTEM  
 FOR SYRINGES

Date: November 15, 2001

**FILING OF ITEM(S) LATE IN PCT/USA NATIONAL CASE**

Asst. Commissioner of Patents  
 Washington, DC 20231

Sir:

The following completes the filing of the subject application under Rule 494(c)/495(c). Please accept the following attached items:

1. Missing Requirements Notice (PCT/DO/EO/905) ☒ copy attached ☐ not yet received
2. ☒ **Signed Declaration** ☒ Original ☐ Facsimile/Copy ☐ with spec/claims attached
3. ☐ **Translation** of the International Application into English including:
  - a. ☐ Request;
  - b. ☐ Abstract
  - c. \_\_\_ pgs. Spec. and Claims;
  - d. ☐ Translation verification
  - e. \_\_\_ sheets Drawing which are: ☐ informal ☐ formal of size ☐ A4 ☐ 11"
4. ☐ Copy of **International Search Report (ISR)** attached (\_\_\_ page(s))
  - a. ☐ plus Annex of family members (\_\_\_ page(s))
5. **Information Disclosure Statement** including
  - a. ☐ From PTO-1449 listing documents
  - b. ☐ Copies of document(s) listed on Form PTO-1449
  - c. ☐ A concise explanation of ISR references is given in the ISR
6. ☒ **Assignment** and cover sheet. Please return the recorded assignment to the undersigned.
7. ☐ Copy of Power to international application agent.
8. \_\_\_ (No.) Small Entity Statement(s) establishing "small entity" status under Rules 9 & 27.
9. ☐ Formal Drawings: \_\_\_ sheet(s) ☐ informal; ☐ formal of size: ☐ A4 ☐ 11"
10. ☒ Please immediately start national examination procedures (35 USC 371(f))

11. ☐ Attached:
12. ☐ Preliminary Amendment:
13. ☒ Basic U.S. National fee per Rule 492(a)(1)-(4) was previously timely filed.:
14. **Calculation of remaining fees due (if any):** based on amended claim(s) per above item  
☐ 12 (above) or item(s) in PAT-112 (filed previously) ☐ 12 ☐ 14 ☐ 17 ☐ 25
15. **CLAIMS FEES** ☐ previously paid ☒ paid herewith as follows:
- 15A. Small Entity Statement ☐ Herewith ☐ Previously Filed

				Large/Small Entity		Fee Code	
16. Total Effective Claims	19	minus 20 =	0	x \$18/\$9	+0	966/967	
17. Independent Claims	2	minus 3 =	0	x \$84/\$42	+0	964/965	
18. If <u>any proper</u> multiple dependent claim (ignore improper) is present,				\$280/\$140	+280	968/969	
19. Filing Declaration late, fee paid <input type="checkbox"/> previously <input checked="" type="checkbox"/> now				\$130/\$65	+130	154/254	
20. <b>SUBTOTAL</b>					<b>\$410</b>		
21. <b>Original due date:</b> January 5, 2002							
22. <b>Petition is hereby made</b> to extend the <b>original</b> due date to cover the date this response is filed for which the requisite fee is attached				(1 mo)	\$110/\$55 =	+	115/215
				(2mos)	\$400/\$200 =		116/216
				(3mos)	\$920/\$460 =		117/217
				(4mos)	\$1,440/\$720 =		118/218
23. If "non-English" box 3 is X'd, add Rule 17(k) processing fee .....				\$130	+	156	
24. If "assignment" box 6 is X'd, add recording fee. ....				\$40	+40	581	
25. <b>TOTAL FEE ENCLOSED =</b>					<b>\$450</b>		

(Our Deposit Account No. 03-3975)

(Our Order No. 009901 C# 0283672 M#)

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP**  
**Intellectual Property Group**

1600 Tysons Boulevard  
 McLean, VA 22102  
 Tel: (703) 905-2000

By Atty: Donald J. BirdReg. No. 25323Sig: 

Fax: (703) 905-2500  
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DJB/AMX

**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**

11/16/2001 LLANDGRA 00000049 09936859

01 FC:968 280.00 OP  
 02 FC:154 130.00 OP

☒ Commissioner For Patents, Box PCT, United States Patent and Trademark Office, Washington, D.C. 20231, www.uspto.gov

U.S. APPLICATION NUMBER NO.

09/936,859

FIRST NAMED APPLICANT

Derek Joseph Shaw

ATTY. DOCKET NO.

P 0283672

INTERNATIONAL APPLICATION NO.

PCT/GB01/00590

I.A. FILING DATE

02/13/2001

PRIORITY DATE

00909

PILLSBURY WINTHROP LLP  
1600 TYSONS BOULEVARD  
MCLEAN, VA 22102

CONFIRMATION NO. 4449

371 FORMALITIES LETTER



\*OC000000007009344\*

Date Mailed: 11/05/2001

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494):

- U.S. Basic National Fees
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Preliminary Amendments
- Request for Immediate Examination

## RECEIVED

PILLSBURY WINTHROP LLP/DC

NOV - 8 2001

CL# 9901 MT# 283672  
ATTY(S) DJB  
DUE: 1/5/02  
DKT BY (1) MGT (2) JEH

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Additionally the following defects have been observed:

- Additional claim fees of **\$270** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees

are due.

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is **\$270** for a Large Entity:

- Total additional claim fee(s) for this application is **\$270**
  - **\$270** for multiple dependant claims surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

KAYA L LEWIS BALTIMORE

Telephone: (703) 305-3695

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/936,859	PCT/GB01/00590	P 0283672